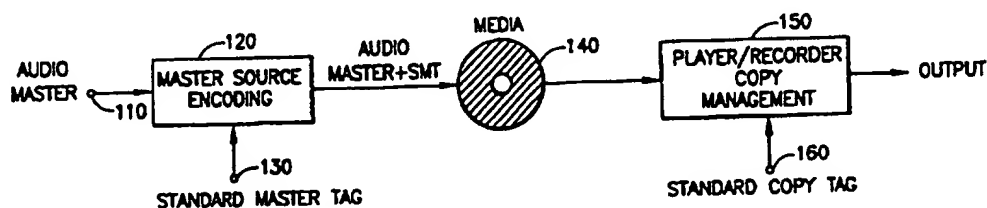


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<p>(21) International Application Number: <b>PCT/US96/19234</b></p> <p>(22) International Filing Date: <b>4 December 1996 (04.12.96)</b></p> <p>(30) Priority Data:  60/008,287      6 December 1995 (06.12.95)      US  08/712,900      12 September 1996 (12.09.96)      US</p> <p>(71) Applicant: <b>SOLANA TECHNOLOGY DEVELOPMENT CORPORATION [US/US]; Suite 100, 777 S. Highway 101, Solana Beach, CA 92075 (US).</b></p> <p>(72) Inventors: <b>WARREN, Robert, L.; 2471 Newport Avenue, Cardiff, CA 92007 (US). LEE, Chong, U.; 5238 Camino Playa Malaga, San Diego, CA 92124 (US). MOALLEMI, Kamran; 4314 Vista De La Tierra, Del Mar, CA 92014-4101 (US).</b></p> <p>(74) Agent: <b>LIPSITZ, Barry, R.; 755 Main Street, Monroe, CT 06468 (US).</b></p>		<p>(81) Designated States: <b>AL, AM, AT, AU, AZ, BB, BG, BR, BY, CA, CH, CN, CZ, DE, DK, EE, ES, FI, GB, GE, HU, IL, IS, JP, KE, KG, KP, KR, KZ, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, TJ, TM, TR, TT, UA, UG, UZ, VN, ARIPO patent (KE, LS, MW, SD, SZ, UG), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, ML, MR, NE, SN, TD, TG).</b></p> <p><b>Published</b>  <i>With international search report.  Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.</i></p>

(54) Title: **MULTI-MEDIA COPY MANAGEMENT SYSTEM**

## (57) Abstract

Reproduction of a data signal which is stored on a source media (140) or distributed via a communication network is controlled by inserting master tag data (130) and control tag data (160) into the data signal. A player/recorder (150) inserts an additional generation of control tag information each time a copy of the media is made. If the number of generations of the control tag information is above a threshold value, reproduction of the data signal may be inhibited. For example, if the data signal comprises audio data, the player/recorder may only allow playing of the audio signal over speakers but will not allow recording. The playing and recording of associated signals, which accompany an audio signal, may also be controlled. The master tag data (130) and control tag data (160) may be provided as spread spectrum signals which are spectrally shaped and power-adjusted according to the data signal to render them imperceptible in the data signal.

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**MULTI-MEDIA COPY MANAGEMENT SYSTEM****BACKGROUND OF THE INVENTION**

This application claims the benefit of U.S. Provisional Application No. 60/008,287, filed  
5 December 6, 1995. The present invention relates to a method and apparatus for providing electronic copy management of various forms of multi-media data. The invention is particularly suitable for  
10 controlling the reproduction of audio or audio/video entertainment programs which are carried over a broadcast communication network or in a portable storage medium such as a compact disc (CD) or digital video disk (DVD).

Currently, there is a growing need to protect  
15 the proprietary rights of entertainment companies and others who distribute electronic programming services to individuals and the public at large. This includes television programming service providers and other entertainment and educational  
20 service providers such as the music industry and the software industry. Each of these service providers distribute audio, audio/video, and other data via a network including terrestrial, satellite, or cable networks, the Internet and intranets.

25 Additionally, the data is commonly stored on permanent or temporary storage media which is distributed, for example, through retail and other point-to-point sales. These storage media include magnetic tapes, such as audio cassettes, video

cassettes, and computer floppy disks, and optical media, such as CDs, DVDs and laser discs.

However, it is problematic that the proprietary data can be copied onto blank storage media and distributed without the permission of the service provider, thereby significantly reducing sales for the service provider. Additionally, the proprietary data may be altered in quality or in substance.

Accordingly, it would be desirable to provide an electronic copy management scheme for controlling the reproduction of proprietary data which is distributed via a communication network or distributed on a storage medium in point-to-point sales. The management scheme should allow the control of the number of generations of authorized copies which may be made. That is, the scheme should allow no copies, a limited number of generations of copies, or an unlimited number of generations of copies. Moreover, the scheme should provide an option for gradual degradation of the data as additional generations of copies are made. The scheme should thwart attempts by unauthorized tamperers (e.g., pirates) to defeat the system, and should be substantially imperceptible to the authorized user.

Additionally, the scheme should provide the capability to track the source of an unauthorized copy by tagging the copy with a unique identification number such as a player or recorder serial number. The present invention provides a system having the above and other advantages.

### SUMMARY OF THE INVENTION

In accordance with the present invention, a method and apparatus are presented for controlling the reproduction of a data signal which is stored on a source media or distributed via a communication network.

The apparatus includes a receiver for receiving and detecting master tag information which is embedded in a data signal of the source media at the time of manufacture or during distribution. The receiver also detects control tag information which may be present in the data signal, and, determines the number of generations of the control tag information. An encoder provides an additional generation of control tag information in the data signal, and a data output stage selectively reproduces the data signal for recording and/or playing based on the number of generations of control tag information. In particular, the data output stage may be prevented from reproducing the data signal when a predetermined number of generations of the control tag information is present in the data signal.

Moreover, the encoder is also responsive to the master tag information for providing the additional generation of control tag information, and, in the absence of master tag information, the additional generation of control tag information may not be provided. Thus, the encoder is also compatible with data signals that are not copy protected according

to the present invention. Alternatively, the additional generations of control tag information may replace the master tag information.

5 The data signal may include a plurality of data channels, in which case the encoder may provide the control tag information and the master tag information in the different data channels. The data signal may include cryptographic data to enable the decryption of data packets carried together with  
10 the data signal. The data signal may comprise compressed digital data, where the encoder provides the additional generation of control tag information without decompressing the compressed digital data.

The control tag and master tag information may  
15 be provided as spread spectrum signals, and may be spectrally shaped and power-adjusted according to the data signal to render them substantially imperceptible in the data signal. Moreover, the master tag data and control tag data may be provided  
20 in one or more layers of the data signal as spread spectrum signals. For example, the master tag information may be provided in at least one time segment of the data signal, while the control tag information is provided in the data signal in non-overlapping time segments. In this case, both the  
25 control tag and master tag may use the same, non-shifted pseudo-random sequence.

Alternatively, orthogonal or otherwise distinct spread spectrum signals may be used for the master  
30 tag information and control tag information. Moreover, the control tag and master tag information

may be provided in a plurality of non-adjacent time segments in the same layer of the data signal.

Furthermore, in a graceful degradation scheme of the present invention, the encoder provides the additional generation of control tag information at a level which is calculated to cumulatively degrade the quality of the data signal according to the number of generations of control tag information. That is, as additional generations of copies are made, the quality or fidelity of the underlying data signal is reduced.

A corresponding method is also presented.

### BRIEF DESCRIPTION OF THE DRAWINGS

FIGURE 1 is a block diagram of an overview of a copy management system in accordance with the present invention.

5           FIGURE 2 is a block diagram of a master source encoding system in accordance with the present invention.

          FIGURE 3 is a block diagram of another embodiment of a master source encoding system in  
10           accordance with the present invention.

          FIGURE 4 is a block diagram of a player/recorder in accordance with the present invention.

          FIGURE 5 is a block diagram of a data stream with a continuously encoded sequence of a standard master tag in accordance with the present invention.  
15

          FIGURE 6 is a block diagram of a data stream with a periodically encoded sequence of a standard master tag in accordance with the present invention.

20           FIGURE 7 is a block diagram of a data stream with a first layer having a continuously encoded sequence of a standard master tag, a second layer having a continuously encoded sequence of a first standard control tag, and a third layer having a  
25           continuously encoded sequence of a second standard control tag, in accordance with the present invention.

          FIGURE 8 is a block diagram of a data stream with a first layer having a continuously encoded  
30           sequence of a standard master tag, a second layer



having a periodically encoded sequence of a first standard control tag, and a third layer having a periodically encoded sequence of a second standard control tag, in accordance with the present invention.

FIGURE 9 is a block diagram of a data stream with a first layer having a periodically encoded sequence of a standard master tag, a second layer having a periodically encoded sequence of a first standard control tag, and a third layer having a periodically encoded sequence of a second standard control tag, in accordance with the present invention.

FIGURE 10 is a block diagram of a data stream with a first layer having a periodically encoded sequence of a standard master tag, and a second layer having a periodically encoded sequence of first and second standard control tags, in accordance with the present invention.

FIGURE 11 is a block diagram of a data stream with a first layer having a periodically encoded sequence of a standard master tag and first and second standard control tags.

FIGURE 12 is a block diagram of a data stream having a sequence of encrypted and unencrypted frames which carry a continuously encoded sequence of a standard master tag in accordance with the present invention.

### DETAILED DESCRIPTION OF THE INVENTION

A method and apparatus are presented for providing electronic copy management of various forms of multi-media data. In one embodiment, any source material that has at least a single audio channel can take advantage of the invention. Moreover, the distribution format is not limiting and can include any number of means as discussed herein.

The present invention is compatible with a scheme such as Hidden Data Transport (HDT) which is described in U.S. Patent Application No. 08/524,132 to C. Lee, et al., entitled "Method and Apparatus for Transmitting Auxiliary Data in Audio Signals", filed September 6, 1995, and incorporated herein by reference. The invention is also compatible with other similar audio tagging technology such as that disclosed in U.S. Patent 5,319,735 to R. Preuss et al., also incorporated herein by reference.

Furthermore, the invention may employ both digital and analog audio signals, and may use a scheme such as Post-Compression Hidden Data Transport (PC-HDT) as described in U.S. Patent Application No. 08/607,330 to C. Lee, et al., entitled "Post-Compression Hidden Data Transport", filed February 26, 1996, incorporated herein by reference, to provide copy management for compressed digital audio streams such as those which follow the MPEG, Musicam, and Dolby AC-2 and AC-3 formats.

Tag data is generated, inserted, and detected

in a data signal which is to be copy managed according to a spread spectrum technique such as, for example, HDT and PC-HDT. With these techniques, data to be carried by a signal (e.g., an audio  
5 signal) is spectrally shaped to closely approximate the spectral shape of the signal, and is combined with the signal at a level where it is substantially imperceptible, e.g., inaudible, or otherwise provided at an acceptable level. The advantages of  
10 using HDT and PC-HDT algorithms over other technologies include the capability for real-time encoding and decoding of a data stream, the ability to add multiple layers of tag data at different times, cross-compatibility with encoding and  
15 decoding of HDT and PC-HDT data, the ability to modulate an information bit stream on tag data (e.g., a player/recorder serial number), and higher data rates than previously available.

FIGURE 1 is a block diagram of an overview of a  
20 copy management system in accordance with the present invention. The Multi-Media Copy Management System (MCM system) consists of two stages. The first stage is implemented at the master source level and consists of embedding a Standard Master  
25 Tag (SMT) into a data source such as an audio master signal. In particular, an audio master signal is received via terminal 110 and provided to a master source encoding unit 120. The encoding unit 120 receives an SMT data signal via terminal 130.

30 The encoding unit 120 outputs a combined signal which includes the audio master data and the SMT

data. The combined signal may be stored on media 140 such as a disc, cassette, electronic audio files, or the like. Alternatively, the combined signal may be transmitted over a communication network, not shown.

The second stage of the MCM system is implemented in a player/recorder copy management unit 150. The player/recorder 150 receives a Standard Copy Tag (SCT) data signal via a terminal 160. The player/recorder unit 150 searches the combined signal which is stored on the media to detect the presence of SMT data which was inserted by the encoding unit 120 and/or SCT data which may have been previously inserted by the player/recorder 150. Specifically, if SMT data is detected, then the player/recorder will know that the media 140 is protected by the MCM system of the present invention. Moreover, the number of generations of SCT data which are detected on the media 140 will inform the player/recorder 150 of the number of copied media from which the particular media 140 was derived. For example, if the media 140 is a second generation copy, that means an original media was copied to a first media, and the first media was copied to a second media. By comparing this generation number with a permitted threshold value, which may be provided by the SMT data, the output of the player/recorder can be muted or blanked to control the further reproduction of the data of the media 140. That is, all or a portion of the output, whether audio, video and/or data can be controlled.

Moreover, while the MCM system disclosed in FIGURE 1 may provide copy management of an audio signal in one embodiment, the SMT and SCT data may also be used to provide copy management of any accompanying data signal or other related program material. For example, if the media 140 included a movie with separate audio and a video channels, reproduction of the video signal at the player/recorder 150 may also be inhibited according to the SMT and SCT data which was detected in the audio channel. Moreover, if the media includes a number of movies with separate respective audio and video channels, the SMT and SCT data of one or more of the audio channels may control the reproduction of all data on the media 140. The player/recorder 150 is discussed in greater detail in connection with FIGURE 4.

Preferably, encoding of the master source which is input to the encoder 120 of FIGURE 1 occurs prior to mass production of the distributed material (e.g., media 140). This is accomplished by the encoder adding SMT data to a digital or analog master tape or digital stream, which may be compressed or uncompressed. Moreover, when SMT data is embedded in an audio data stream, it is desirable to spectrally shape the SMT data and provide it at an amplitude level so that it is inaudible in the audio stream. In this manner, the fidelity of the audio data is not noticeably diminished.

Although not necessary, it may be desirable to use the same SMT for all the source material which

is produced on the same type of media. For example, all audio CDs may use a first SMT, while all audio/video DVDs use a second SMT, all broadcast television programs use a third SMT, and so forth.

5 This makes it easier for the player/recorder 150 to detect the SMT by avoiding the need to search for numerous possible SMTs and maintain a data base of available SMTs. However, the use of a number of different SMTs may allow a manufacturer to better  
10 track the source of an unauthorized copy by cross-referencing the SMT with the distribution channel (e.g., geographic region, retail store), and/or the distribution date. Thus, the SMT data may include information such as a unique source identification  
15 number as well as the number of authorized copies which may be made of the data stream carried by the media 140.

Advantageously, when using HDT or PC-HDT, the SMT data may be provided according to a reserved  
20 continuous pseudo-noise (PN) sequence, or multiple repetitions of the same PN sequence. Moreover, various modifications of this scheme may be used. For example, instead of using a continuous PN sequence, one may use a burst of a PN sequence, a  
25 repetitive PN sequence, a non-repetitive continuous PN sequence, a non-continuous PN sequence, a PN sequence having a length which exceeds the length of the SMT or other tag data, or any combination thereof. Other alternatives and modifications will  
30 become apparent to those skilled in the art. Furthermore, the PN sequence may optionally be

modulated with a low rate information layer, which may uniquely identify the source material by providing an identifier which is similar to a universal product code (UPC) or other standard code used on consumer goods. The modified compressed stream is then recorded on each and every disc (e.g., media 140) along with any video signal and/or data stream that may accompany it.

Moreover, the SMTs and/or SCTs may be used to carry additional data in a binary signaling scheme. That is, the presence or absence of an SMT data packet in a defined interval of the copy managed data stream may indicate a zero or one data bit. A sequence of zeros and ones can be accumulated and decoded by the player/recorder to derive the desired data. Thus, additional data can be carried beyond the data of the SCTs and SMTs themselves.

FIGURE 2 is a block diagram of a master source encoding system in accordance with the present invention. Audio master data is received via a terminal 210 and provided to an HDT encoder 220. The HDT encoder 220 inserts SMT data into an uncompressed audio master signal and provides the combined signal to an audio compressor 230 for compression. Video data which accompanies the audio data may also be received, via terminal 240, and multiplexed with the compressed audio signal at multiplexer 235. The multiplexed signal is then stored on the media 140. Other accompanying or non-accompanying audio, video and data signals may also be stored on the media 140. For example, a movie

may include multiple audio tracks for high-fidelity reproduction.

As mentioned, it is desirable to add the SMT data to the master audio signal prior to manufacturing a large number of media units 140 which are mass marketed to consumers. This avoids the need to insert the SMT data into each media unit 140 separately, thereby resulting in significant production efficiencies.

FIGURE 3 is a block diagram of another embodiment of a master source encoding system in accordance with the present invention. Audio master data is received via a terminal 310 and provided to an audio compressor 320, which provides a compressed audio master signal to the PC-HDT encoder 330. The PC-HDT encoder 330 inserts SMT data into the compressed audio master signal to provide the combined signal. Video data which accompanies the audio data may be received via terminal 340 and multiplexed with the combined signal at multiplexer 335 for storage on the media 140.

FIGURE 4 is a block diagram of a player/recorder in accordance with the present invention. The player/recorder, shown generally at 150, receives a combined data stream from a media 140. In the embodiment shown, the data stream comprises audio data and associated video data such as might be found in a movie which is stored on a DVD. The combined data stream is demultiplexed at demultiplexer 405 to separate the audio data and SMT data from the video data. Additionally, SCT data



may be carried with the audio and SMT data if the media 140 is a copy of an original media.

In this example, it is assumed that the source material which is stored on the media 140 is  
5 compressed data, and that the media 140 is a laser disc, compact disc, or DVD. Furthermore, the player/recorder 150 may have a digital compressed master audio output for making a digital master quality copy from the disc 140, and an analog  
10 baseband audio output for playing back the audio of an original disc or first or later generation copy thereof via a speaker.

The audio and SMT data from the disc 140 are provided on four different paths. In a first path  
15 409, the audio and SMT data are provided to an SMT decoder 430 of a PC-HDT decoder 420. The SMT decoder 430 searches for SMT data which indicates that the material of the media 140 is copy managed in accordance with the present invention. The SMT  
20 data may also carry other information as mentioned above. A corresponding "SMT Detected" signal is then provided to the selector 435.

In a second path 408, the audio, SMT and/or SCT data are provided to a SCT decoder 425 of the PC-HDT  
25 decoder 420. The SCT decoder 425 searches for existing SCT data which indicates that the data stored on the media 140 is a copy of an original or subsequent generation disc. Depending on the SCT data which is detected, the SCT decoder 425 can  
30 determine the copy generation number of the media 140. For example, if the SCT data indicates that

the media 140 is a second generation copy, that means that a first, original media was copied to produce a first generation copy, and the first generation copy was copied to produce the second generation copy. If there is no SCT data present, this indicates that the media 140 contains original data. A corresponding "SCT Detected" signal is sent to the selector 435 to indicate the nature of the SCT data.

In a third path 407, the audio and SMT data, and SCT data, if present, are provided directly to the selector 435.

In a fourth path 406, the audio and SMT data are provided to a PC-HDT encoder 410, which includes a Standard Copy Tag (SCT) encoder 415 which embeds SCT data into the input audio stream. The audio, SMT and SCT data are then provided to a selector 435. The timing of the encoded SCT can be synchronized to that of the incoming SMT and/or SCTs with or without an offset.

The SMT decoder 430 and SCT decoder 425 synchronize to the incoming SMT and SCT data and may optionally pass this timing information to the SCT encoder 415 via means not shown. The SCT encoder 415 then may choose an unused offset from a predetermined set to encode the outgoing tags without overwriting existing tag data. With this scheme, all tags may be synchronous to each other relative to the PN timing if the timing information is provided to the SCT encoder 415, and no two tags will occupy the same offset (e.g., position) in the

data stream which is provided from the SCT encoder 415 to the selector 435. However, tags which occupy the same position in the data stream can also be distinguishable for subsequent recovery. Generally,  
5 it is not required that the PN chips of the various tags are synchronized, but this makes it easier for the decoder to decode the tag data. In any case, the SMTs and SCTs should be offset by at least one chip.

10 The selector 435 can enable or disable various outputs to player and recorder portions of the player/recorder 150. In particular, the selector 435 may include control means such as a central processing unit (CPU), digital signal processor  
15 (DSP), or the like, a memory, and switch means for selecting the desired input signal in response to the detected SCT and SMT signals. Furthermore, if the selector 435 enables the audio output for recording or for playing (e.g., via speakers, not  
20 shown), then typically the accompanying video which is provided on path 411 will also be enabled and output, for example, to a display device such as a television or computer monitor. However, if the audio is not enabled for recording or playing, then  
25 the video may also not be enabled. Moreover, if the audio is enabled for playing but not for recording, then the video may be enabled. Alternatively, the selector 435 may automatically enable the output video stream while the SCT and SMT decoders 425 and  
30 430, respectively, are searching the compressed audio stream for their corresponding tags.

Thus, when the audio is enabled by the selector 435, the selector 435 will output either the input audio stream on path 407 or the output of the SCT encoder 415. Additionally, when the compressed  
5 audio is selected for playing, it will be processed by a decompressor 440 to provide an uncompressed analog audio output at baseband.

Various operating modes of the player/recorder 150 will now be discussed in greater detail. If  
10 neither SMT nor SCT data are present in the data from the media 140, then the media is not copy managed in accordance with the present invention, and the input audio, video and auxiliary streams, if present, are output by the selector 435 via input  
15 paths 407 and 411. In this case, the signals can be played back and recorded an unlimited number of times without being tagged with SCT or SMT data. However, in some situations, it may be desirable for the operator of the play/record unit 150 to choose  
20 to have SMT and/or SCT data inserted into the output audio stream for private copy management purposes. For example, an individual may wish to copy protect a source media which he has modified, e.g., to create a derivative work. In this case, the  
25 player/recorder 150 essentially functions like the master source encoder 120 of FIGURE 1.

If SMT data is present in the media 140 but SCT data is not, then the media is copy managed but is not a copy of an original disc. In this case, the  
30 SMT decoder will decode the SMT data to determine whether any additional generations of copies are

allowed. If so, the compressed audio output for recording will be enabled by the selector 435. Also, the analog audio output will be enabled. If the SMT data indicates that no additional  
5 generations of copies are authorized, then only the analog audio output will be enabled to provide a playback capability but not a record capability. The auxiliary output stream can also be enabled in either case.

10 If both SCT and SMT data are present, then the source is copy managed. The number of generations of SCT data which is detected by the SCT detector 425 is compared with a Valid Copy Threshold (VCT). The VCT indicates the number of allowed copies and  
15 can be factory set into the player/recorder 150, or embedded in the SMT data. If the number of generations of SCT data is less than or equal to the VCT, then the selector 435 will enable the compressed audio output for recording the data on  
20 another media, not shown. Otherwise, the output is disabled, or only the analog audio output is enabled for playback.

In an alternative embodiment of the player/recorder 150 of FIGURE 4, the SMT data is  
25 detected and replaced with the SCT data. That is, the SCT data overwrites the SMT data. For example, if the SMT data of the original media indicates that one or more copies are allowed, then the SCT data will contain a generation copy number. In this  
30 case, when the SCT decoder 425 detects the presence of SCT data which has overwritten SMT data, the SCT

data is modified at the SCT encoder 415 by incrementing the generation copy number. Then, if the SCT decoder 425 detects SCT data with a generation copy number that exceeds the VCT, the compressed audio output may be disabled. In a slightly modified version of this scheme, the SMT data is updated with new SMT data which indicates the number of remaining allowed copies. Then, each time a copy is made, this number is decremented until no additional copies are allowed.

Furthermore, when an audio source includes multiple channels (e.g., front left, front right, center, rear left and rear right), the SMT and SCT data can be embedded in one or more of the multiple channels. In fact, the same SCT and SMT data may be embedded in two or more different channels at the same or different times.

In a further variation, a graceful degradation capability may be added to the player/recorder 150. Specifically, in addition to placing SCT data in the outgoing audio stream, the player/recorder 150 may add a predetermined amount of shaped or unshaped noise to some or all of the outgoing streams (i.e. audio, video, and auxiliary streams). The purpose is to variably degrade the material as desired each time it is copied. Moreover, the amount of added noise may be correlated with the copy generation number. Thus, later generations of media will have more degradation.

FIGURE 5 is a block diagram of a data stream with a continuously encoded sequence of a standard

master tag in accordance with the present invention. Time increases from left to right in FIGURES 5-12. The data stream, shown generally at 500, includes a master audio layer 510 and an SMT data layer 520 which carries a plurality of adjacent standard master tags 521-531 which comprise the same data. Moreover, the SMTs 521-531 are said to be on the same layer since they use a common PN sequence. Note that, alternatively, instead of using a number of SMTs, one continuous SMT, such as SMT 521 could be used. Generally, the SMT data can be put on the master audio either in a continuous or a periodic fashion. However, continuous encoding can facilitate synchronization and detection of the SMT data at the player/recorder.

FIGURE 6 is a block diagram of a data stream with a periodically encoded sequence of a standard master tag in accordance with the present invention. The data stream, shown generally at 600, includes a master audio layer 510 and an SMT data layer 620, which carries a plurality of periodically spaced SMTs 621 and 622 which comprise the same data. Only two SMTs are shown but others may be provided. Moreover, the SMTs may be spaced apart at fixed or variable intervals.

FIGURE 7 is a block diagram of a data stream with a first layer having a continuously encoded sequence of a standard master tag, a second layer having a continuously encoded sequence of a first standard control tag, and a third layer having a continuously encoded sequence of a second standard

control tag, in accordance with the present invention. The data stream, shown generally at 700, includes a master audio layer 510, an SMT data layer 520 with one or more SMTs including an SMT 721, a  
5 first SCT data layer 740 with a plurality of SCTs including SCT #1 shown at 741, and a second SCT data layer 760 with one or more SCTs including SCT #2 shown at 761. SCT #1 is different from SCT #2 because it uses a different PN sequence, or a time  
10 shifted version of the same PN sequence. The data stream 700 is indicative of a second generation copy that has three layers of continuously encoded tag data.

Moreover, a spread spectrum scheme such as HDT  
15 or PC-HDT that uses independent orthogonal PN sequences for each tag may be used. With this configuration, the SCT decoder will search for all the possible tags (one for each generation) and determine the generation copy of the incoming audio  
20 stream. Moreover, the same PN sequences may be used for the SMTs and the SCTs as long as the PN sequences are time-shifted versions of one another. In particular, with a time shift of one or more PN chips, each layer 520, 740 and 760 can be  
25 distinguished.

FIGURE 8 is a block diagram of a data stream with a first layer having a continuously encoded sequence of a standard master tag, a second layer  
30 having a periodically encoded sequence of a first standard control tag, and a third layer having a periodically encoded sequence of a second standard



control tag, in accordance with the present invention. The data stream, shown generally at 800, includes a master audio layer 510, an SMT data layer 520 with a plurality of SMTs including an SMT 821, a first SCT data layer 840 with a plurality of SCTs including SCT #1 shown at 841 and 842, and a second SCT data layer 860 with a plurality of SCTs including SCT #2 shown at 861 and 862.

The data stream 800 is indicative of a second generation copy with a continuous SMT layer and two periodic SCT layers. The SMTs and SCTs can be separated by either a fixed or a variable (including random) interval. With this configuration, the tag detection and insertion at the player/recorder can be done in a non-real time manner. This can reduce the required processing power and hardware costs.

FIGURE 9 is a block diagram of a data stream with a first layer having a periodically encoded sequence of a standard master tag, a second layer having a periodically encoded sequence of a first standard control tag, and a third layer having a continuously encoded sequence of a second standard control tag, in accordance with the present invention. The data stream, shown generally at 900, includes a master audio layer 510, an SMT data layer 920 with a plurality of SMTs including SMTs 921 and 922, a first SCT data layer 940 with a plurality of SCTs including SCT #1 shown at 941 and 942, and a second SCT data layer 960 with a plurality of SCTs including an SCT #2 shown at 961 and 962. The data stream 900 is indicative of a second generation copy

with a periodic SMT layer and two periodic SCT layers.

FIGURE 10 is a block diagram of a data stream with a first layer having a periodically encoded sequence of a standard master tag, and a second layer having a periodically encoded sequence of first and second standard control tags, in accordance with the present invention. The data stream, shown generally at 1000, includes a master audio layer 510, an SMT data layer 1020 with a plurality of SMTs including SMTs 1021 and 1022, and an SCT data layer 1040 with a plurality of SCTs including SCT #1 shown at 1041 and 1043, and SCT #2 shown at 1042 and 1044. The data stream 1000 is indicative of a second generation copy with a periodic SMT layer and one periodic SCT layer.

The configuration of data stream 1000 illustrates two periodic SCTs on the same layer since both SCT #1 and SCT #2 use the same PN sequence. Moreover, SCT #1 and SCT #2 can be synchronous or asynchronous to each other. In this case, the decoder counts the number of different SCTs after detecting an SMT in order to determine the generation number. Note that the SCT #1 1041 is provided in the data stream 1000 at a later time than the SMT 1021, where time increases from left to right in FIGURE 10.

FIGURE 11 is a block diagram of a data stream with a first layer having a periodically encoded sequence of a standard master tag and first and second standard control tags. The data stream,

shown generally at 1100, includes a master audio layer 510, and a single data layer 1120 which carries a plurality of SMTs including SMTs 1121 and 1124, a plurality of SCTs including SCT #1 shown at 1122 and 1125, and SCT #2 shown at 1123 and 1126.

The configuration of data stream 1100 demonstrates having the SMT and the SCTs all in the same layer, e.g., using the same PN sequence. The tags can be synchronous or asynchronous to each other. The decoder counts the number of tags (since SMT and SCTs may look the same) in a given period of time to determine the generation number. Of course, the modulated data for each tag, if any, can be different. This scheme is desirable for reducing the required processing power in the player/recorder since there is no need to search for a large number of PN sequences or maintain a database of potential PN sequences. For synchronization, the SCT and SMT decoders can scan for the common PN sequence, and a header or synchronization pattern can be used at the beginning of each tag to distinguish the boundaries between the tags. Another way of distinguishing the tag boundaries is to provide data in each tag which indicates the packet length of the tag.

FIGURE 12 is a block diagram of a data stream having a sequence of encrypted and unencrypted frames which carry a continuously encoded sequence of a standard master tag in accordance with the present invention. The data stream, shown generally at 1200, includes a plurality of data frames, including Frame 1 shown at 1220, Frame 2 shown at

1240, Frame 3 shown at 1260, and Frame N shown at 1280. Each frame carries one or more SMTs in a data layer 1230. For example, Frame 1 carries SMTs 1221, ..., 1222, Frame 2 carries SMTs 1241, ..., 1242, 5 Frame 3 carries SMTs 1261, ..., 1262, and Frame N carries SMTs 1281, ..., 1282. Additionally, key data is carried in a data layer 1250.

With this configuration, the source material is scrambled (e.g., encrypted) according to an 10 encryption key, and the encryption key is embedded in the data layer 1250, which is an HDT or PC-HDT layer. Moreover, each frame (e.g., packet) 1220, 1240, 1260, 1280 can be scrambled with a different key, or the key can change every so many frames. 15 The HDT data in a previous packet or set of packets can contain the key to be used for descrambling the next packet or set of packets. For example, in the data stream 1200, packet 1223 of Frame 1 carries the key for Frame 2, packet 1243 of Frame 2 carried the 20 key for Frame 3, packet 1263 of Frame 3 carries the key for Frame 4 (not shown), and packet 1283 of Frame N carries the key for Frame N+1 (not shown).

Furthermore, by using null keys, one can also encrypt the frames in a random fashion. For 25 example, in the data stream 1200, Frames 1 and N are unencrypted, while Frames 2 and 3 are encrypted.

Moreover, although the encryption scheme is most robust with a digital source, it can be extended to work with analog scrambling schemes. In 30 addition, the player/recorder unit can provide an additional level of encryption when it receives an

encrypted data stream such as a data stream 1200.  
In this case, the player/recorder unit that receives  
a data stream with multiple layers of encryption  
must perform a corresponding multi-level decryption  
5 process to recover the original source material.

Although the invention has been described in  
connection with various specific embodiments, those  
skilled in the art will appreciate that numerous  
adaptations and modifications may be made thereto  
10 without departing from the spirit and scope of the  
invention as set forth in the claims. For example,  
while the invention has been discussed in terms of  
embedding inaudible tag data into an audio data  
stream, it should be emphasized that the invention  
15 may be adapted for other uses such as providing tag  
data in video data (e.g., compressed or  
uncompressed) such that the tag data is  
substantially imperceptible or otherwise provided at  
a desired level. Moreover, tag data can be carried  
20 in a data signal that is not perceptible at all to  
humans, such as a carrier signal that provides a  
data signal via a cable television system, satellite  
broadcast system, telephone network, or other  
communication network. Furthermore, various spread  
25 spectrum signal configurations may be used to  
provide the tag data discussed herein, including a  
single, non-repeating PN sequence, one or more  
repeating PN sequences, or a bursty PN sequence.

**CLAIMS:**

1. Apparatus for controlling reproduction of a data signal comprising:

a receiver for receiving and detecting master tag information in said data signal, detecting control tag information, if any, in said data signal, and determining the number of generations of said control tag information;

an encoder for providing an additional generation of control tag information in said data signal; and

a data output stage responsive to the number of said generations of control tag information for selectively reproducing said data signal.

2. The apparatus of claim 1, wherein:

said encoder is responsive to said master tag information for providing said additional generation of control tag information; and

in the absence of master tag information in said data signal, said additional generation of control tag information is not provided.

3. The apparatus of claim 1, wherein said encoder further comprises at least one of:

(a) means for spectrally shaping said control tag information according to said data signal; and

(b) means for adjusting the power of said control tag information according to said data signal.

4. A master source encoder for use with the apparatus of claim 1, comprising at least one of:

(a) means for spectrally shaping said master tag information according to said data signal; and

(b) means for adjusting the power of said master tag information according to said data signal.

5. The master source encoder of claim 4, wherein at least one of said spectral shaping and power adjusting means render the master tag information at a desired level in said data signal.

6. The apparatus of claim 1, wherein said data output stage is prevented from reproducing said data signal when a predetermined number of generations of said control tag information is present in the data signal.

7. The apparatus of claim 1, wherein said data signal comprises a plurality of data channels, and said encoder provides said control tag information and said master tag information in different ones of said data channels.

8. The apparatus of claim 1, wherein said data signal includes cryptographic data to enable the decryption of data packets carried together with said data signal.

9. The apparatus of claim 1, wherein said encoder provides said control tag information as a spread spectrum signal.

10. A master source encoder for use with the apparatus of claim 1, said master source encoder providing said master tag information in said data signal as a spread spectrum signal.

11. The apparatus of claim 1, wherein:  
said data signal comprises compressed digital data; and

said encoder provides said additional generation of control tag information without decompressing said compressed digital data.

12. The apparatus of claim 1, wherein:  
said master tag information is provided as a spread spectrum signal in accordance with an associated pseudo-random sequence in at least one time segment of said data signal;

said encoder generates said control tag information as a spread spectrum signal using said associated pseudo-random sequence; and

said encoder provides said control tag information in said data signal in a time segment which is unaligned relative to said at least one time segment in which said master tag information is carried.



13. The apparatus of claim 1, wherein:

at least one of said master tag information and said control tag information, if any, is provided as a spread spectrum signal in said data signal; and

said encoder provides said additional generation of control tag information as a spread spectrum signal which is distinguishable from said at least one of said master tag information and said control tag information.

14. The apparatus of claim 1, wherein:

at least one of said master tag information and said control tag information, if any, is provided as a spread spectrum signal in said data signal in accordance with a first pseudo-random sequence; and

said encoder provides said additional generation of control tag information as a spread spectrum signal in accordance with a second pseudo-random sequence which is distinct from said first pseudo-random sequence.

15. The apparatus of claim 1, wherein said encoder provides said control tag information in a plurality of non-adjacent time segments of said data signal.

16. A master source encoder for use with the apparatus of claim 1, said master source encoder providing said master tag information in a plurality of non-adjacent time segments of said data signal.

17. The apparatus of claim 1, wherein said encoder provides said additional generation of control tag information at a level calculated to cumulatively degrade the quality of said data signal according to said number of generations of control tag information.

18. The apparatus of claim 1, wherein:  
auxiliary data is carried with said data signal; and

said data output stage is responsive to the number of said generations of control tag information for selectively reproducing said auxiliary data.

19. The apparatus of claim 1, wherein a presence of at least one of said master tag information and said control tag information in defined intervals of said data signal is used to carry information in said data signal according to a binary signaling scheme.

20. Apparatus for controlling reproduction of a data signal comprising:

a receiver for receiving and detecting master tag information in said data signal, detecting control tag information, if any, in said data signal, and determining the number of generations of said control tag information;

an encoder for providing an additional generation of control tag information in said data

signal such that said additional generation of control tag information replaces said master tag information; and

a data output stage responsive to the number of said generations of control tag information for selectively reproducing said data signal.

21. An apparatus for controlling reproduction of a data signal comprising:

a receiver for receiving said data signal; and  
an encoder operatively associated with said receiver for degrading the quality of said received data signal such that succeeding received and encoded generations of said data signal have an increasingly degraded quality.

22. A method for tagging a data signal with an information tag on a data source media, comprising the steps of:

modulating said data signal by a spread spectrum master tag information signal; and  
recording said modulated data signal on said audio source media;

wherein said audio source media is identifiable by said master tag information signal.

23. A method for controlling the reproduction of a data signal comprising the steps of:

(a) retrieving master tag information from said data signal;  
(b) retrieving control tag information, if any,

from said data signal;

(c) determining the number of generations of said control tag information in said data signal;

(d) determining whether the number of said generations of control tag information is below a threshold level; and:

(i) if so, providing an additional generation of control tag information in said data signal; and,

(ii) if not, inhibiting the reproduction of said data signal.

24. The method of claim 23, comprising the further step of:

determining said threshold level according to said master tag information.

25. The method of claim 23, comprising at least one of the further steps of:

(a) spectrally shaping said additional generation of control tag information according to said data signal; and

(b) adjusting the power of said additional generation of control tag information according to said data signal.

26. The method of claim 23, comprising at least one of the further steps of:

(a) spectrally shaping said master tag information according to said data signal; and

(b) adjusting the power of said master tag

information according to said data signal.

27. The method of claim 23, wherein at least one of said spectral shaping and power adjusting steps render said master tag information at a desired level in said data signal.

28. The method of claim 23, wherein said inhibiting step prevents reproduction of said data signal.

29. The method of claim 23, wherein said controlling step comprises degrading the quality of said data signal.

30. The method of claim 23, comprising the further step of:

providing cryptographic data in said data signal to enable the decryption of data packets carried together with said data signal.

31. The method of claim 23, wherein said additional generation of control tag information is provided as a spread spectrum signal.

32. The method of claim 23, wherein said master tag information is provided as a spread spectrum signal.

33. The method of claim 23, wherein said data signal comprises compressed digital data; and said additional generation of control tag information is provided without decompressing said compressed digital data.

34. The method of claim 23, comprising the further steps of:

providing said master tag information as a spread spectrum signal in accordance with an associated pseudo-random sequence in at least one time segment of said data signal;

providing said additional generation of control tag information as a spread spectrum signal using said associated pseudo-random sequence; and

providing said additional generation of control tag information in said data signal in a time segment which is unaligned relative to said at least one time segment in which said master tag information is carried.

35. The method of claim 23, wherein at least one of said master tag information and said control tag information, if any, is provided as a spread spectrum signal in said data signal, comprising the further step of:

providing said additional generation of control tag information as a spread spectrum signal which is distinguishable from said at least one of said master tag information and said control tag information.

36. The method of claim 23, wherein at least one of said master tag information and said control tag information, if any, is provided as a spread spectrum signal in said data signal in accordance with a first pseudo-random sequence, comprising the further steps of:

providing additional generations of control tag information as distinct spread spectrum signals by using different pseudo-random sequences; and

providing said additional generation of control tag information as a spread spectrum signal in accordance with a second pseudo-random sequence which is distinct from said first pseudo-random sequence.

37. The method of claim 23, comprising the further step of:

providing additional generations of control tag information in a plurality of non-adjacent time segments of said data signal.

38. The method of claim 23, comprising the further step of:

providing said master tag information in a plurality of non-adjacent time segments of said data signal.

39. The method of claim 23, wherein said data signal comprises a plurality of data channels, comprising the further step of:

providing said control tag information and said

master tag information in different ones of said data channels.

40. The method of claim 23, wherein auxiliary data is carried with said data signal, and the number of said generations of control tag information is not below said threshold level, comprising the further step of:

inhibiting the reproduction of said auxiliary data.

41. The method of claim 23, comprising the further step of:

providing at least one of said master tag information and said control tag information in defined intervals of said data signal to carry information in said data signal according to a binary signaling scheme.

42. A method for controlling the reproduction of a data signal comprising the steps of:

(a) retrieving master tag information from said data signal;

(b) retrieving control tag information, if any, from said data signal;

(c) determining the number of generations of control tag information in said data signal;

(d) determining whether the number of said generations of control tag information is below a threshold level; and:

(i) if so, providing an additional



generation of control tag information in said data signal such that said additional generation of control tag information replaces said master tag information; and,

(ii) if not, inhibiting the reproduction of said data signal.

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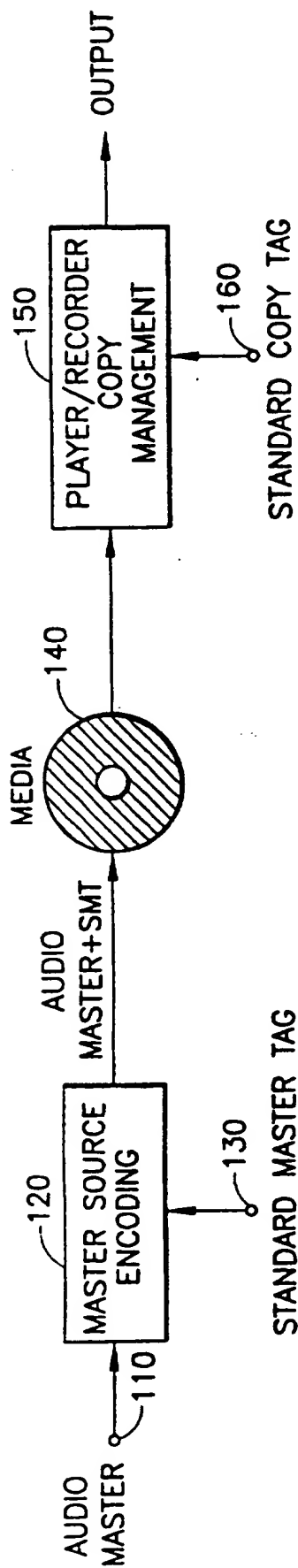


FIG.1

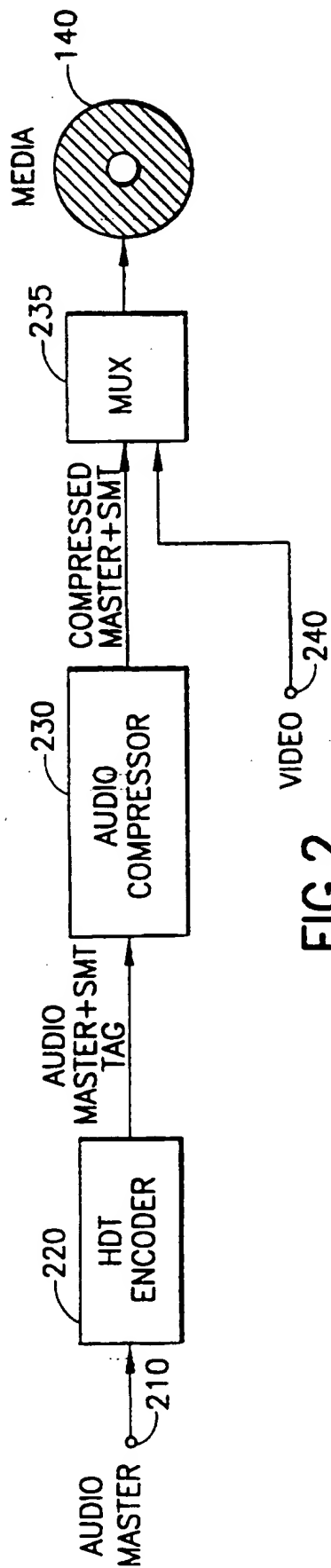


FIG.2

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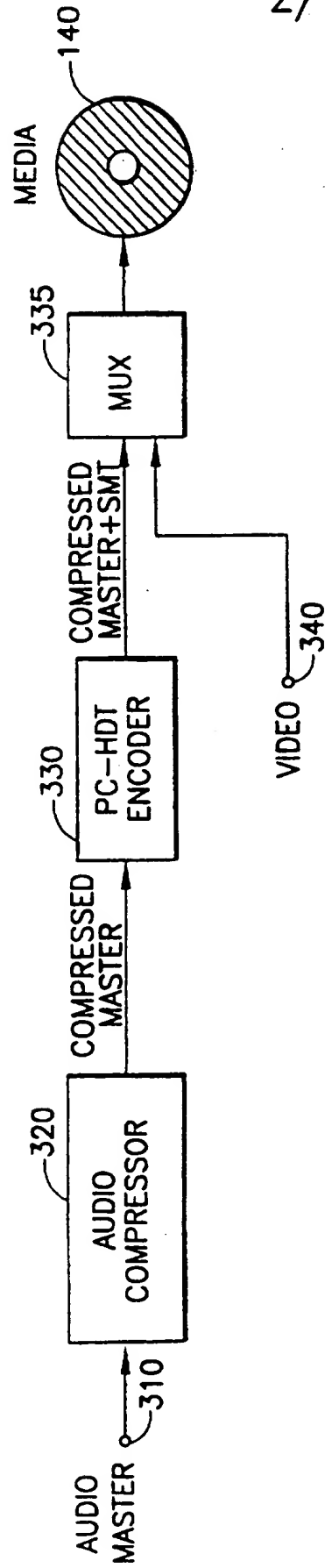


FIG.3

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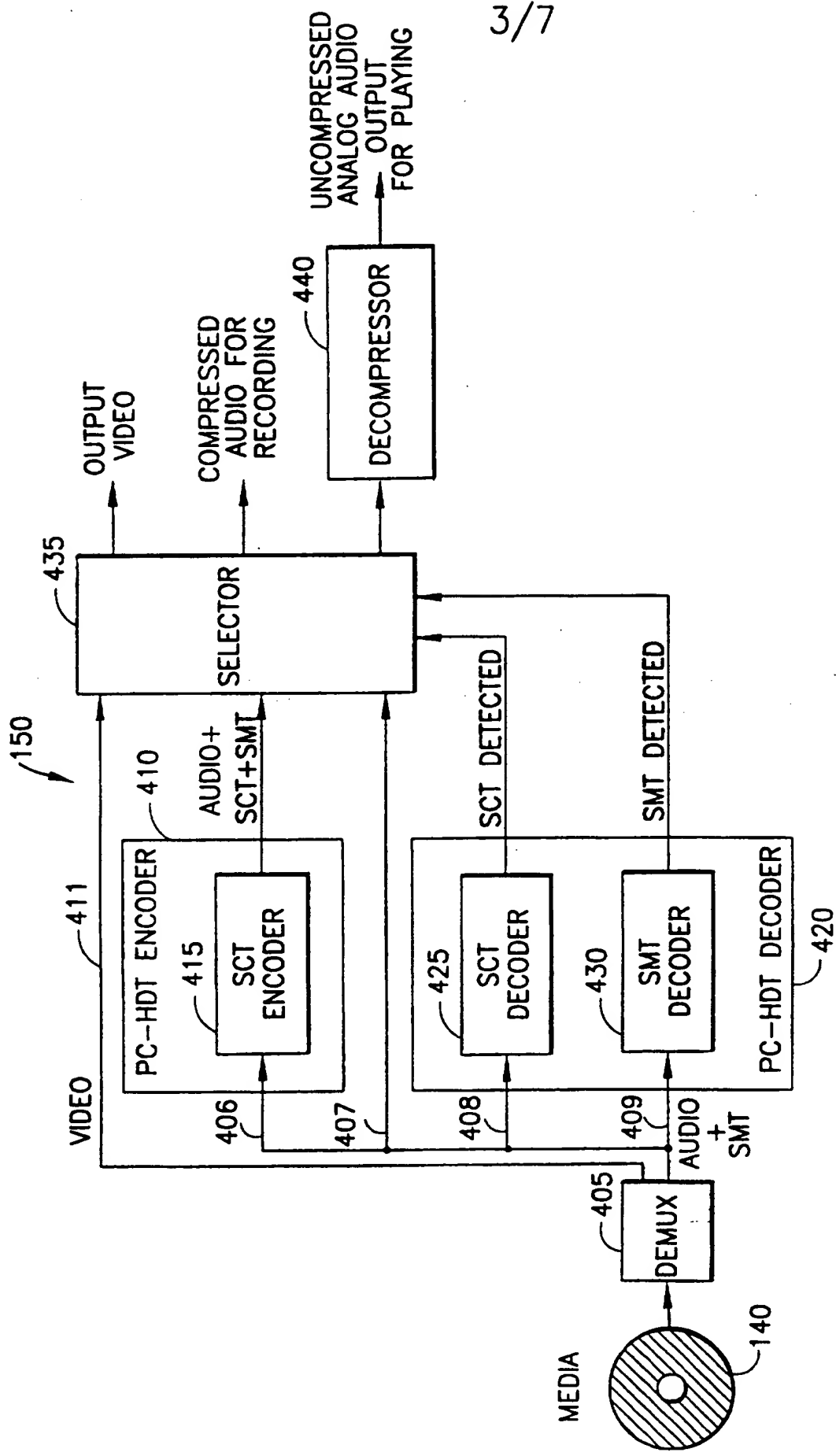


FIG.4

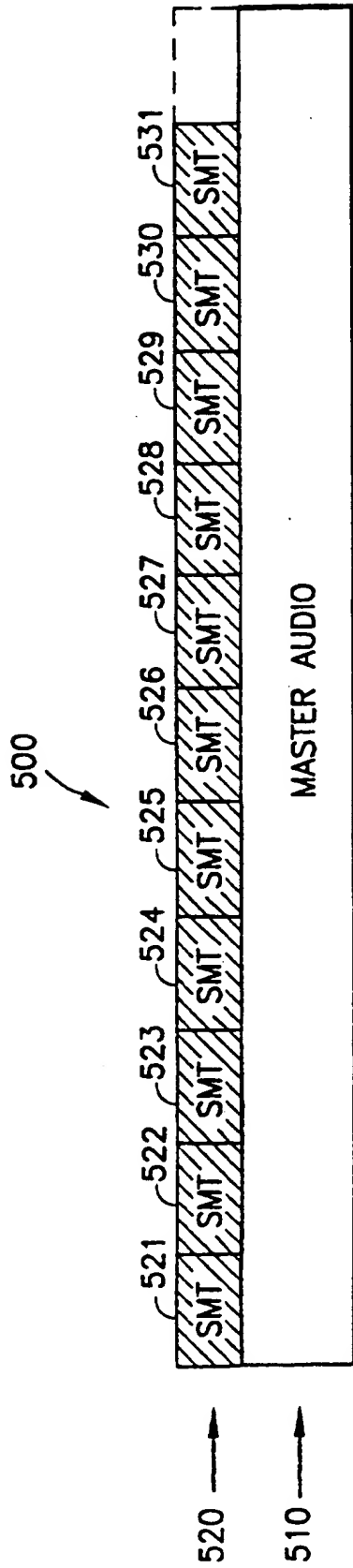


FIG. 5

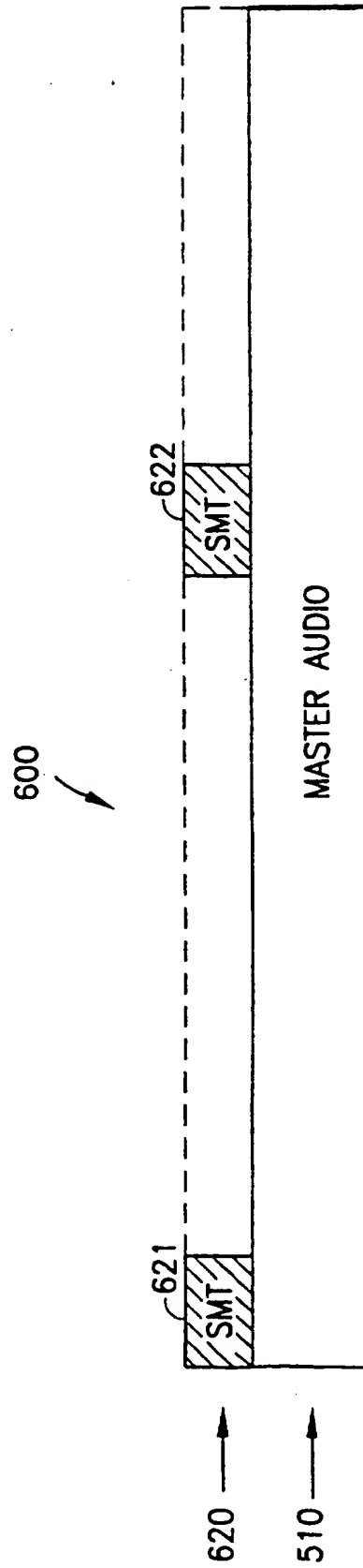


FIG. 6

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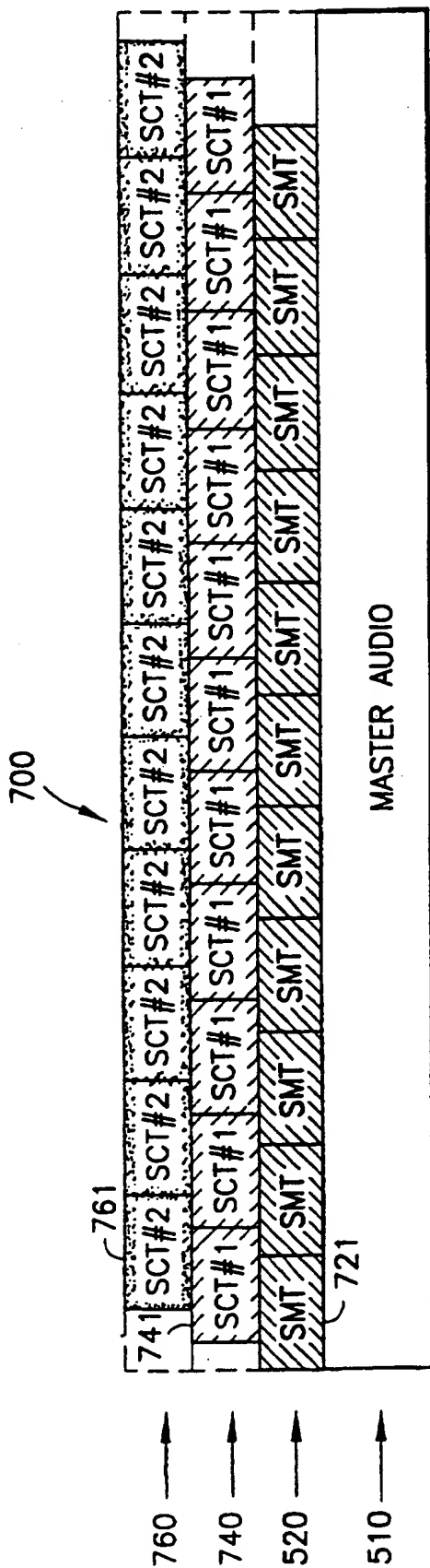


FIG. 7

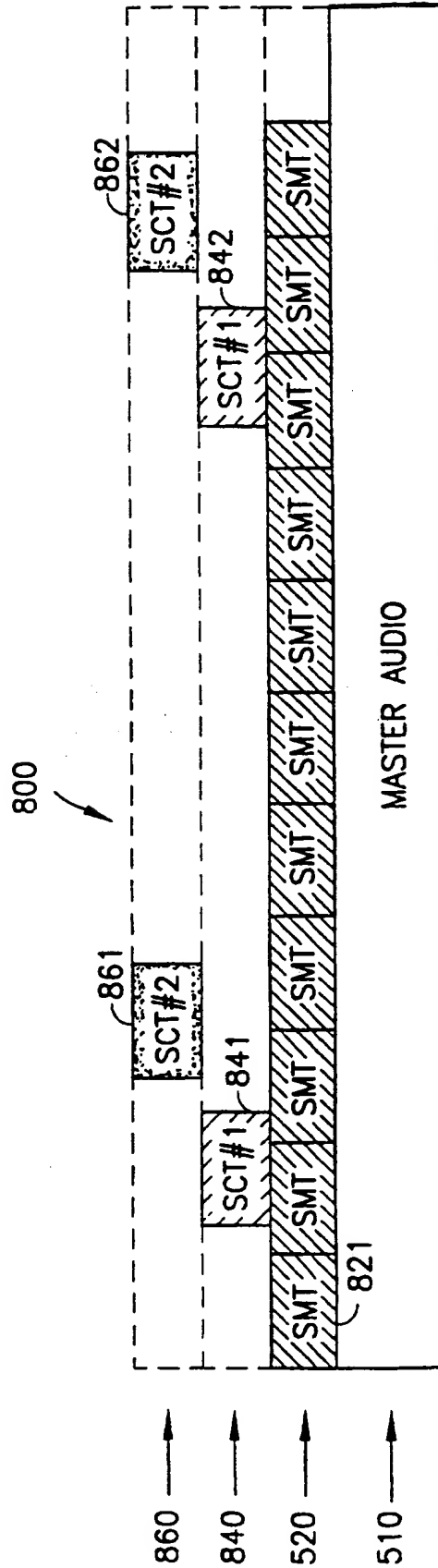


FIG. 8

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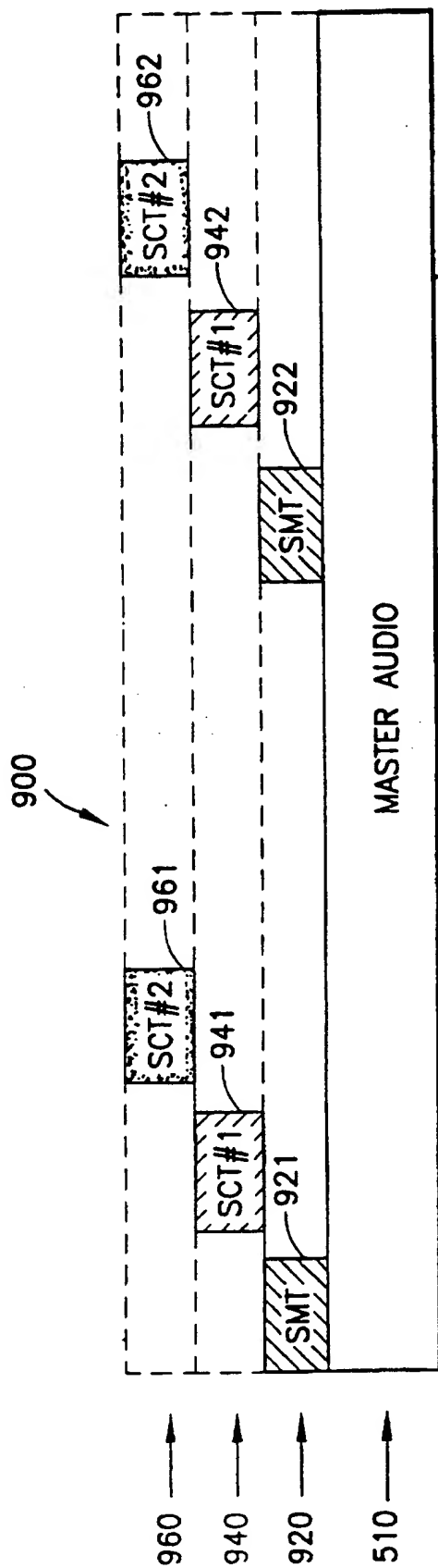


FIG. 9

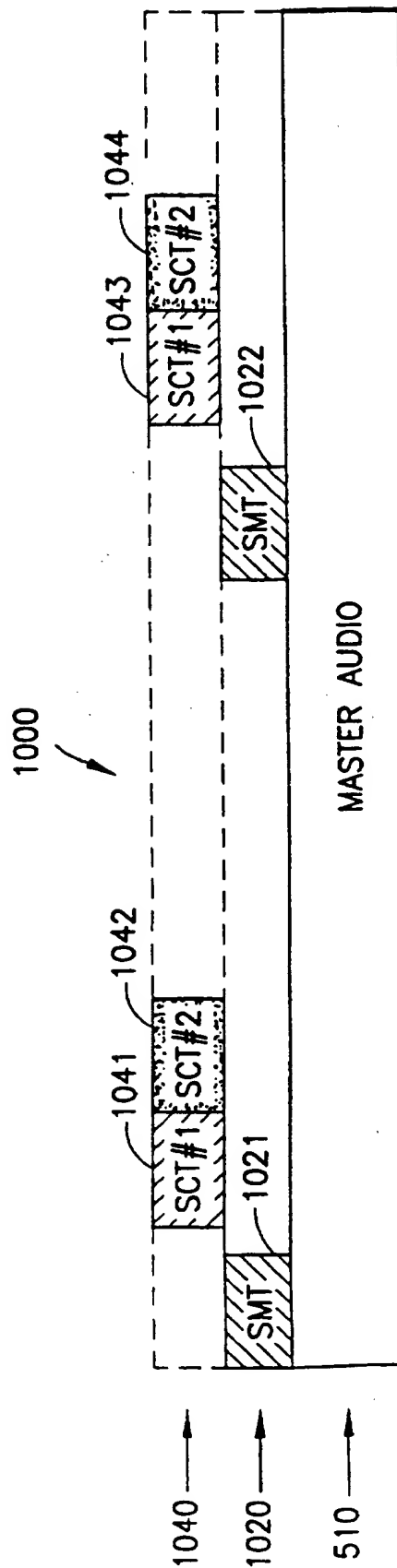


FIG. 10

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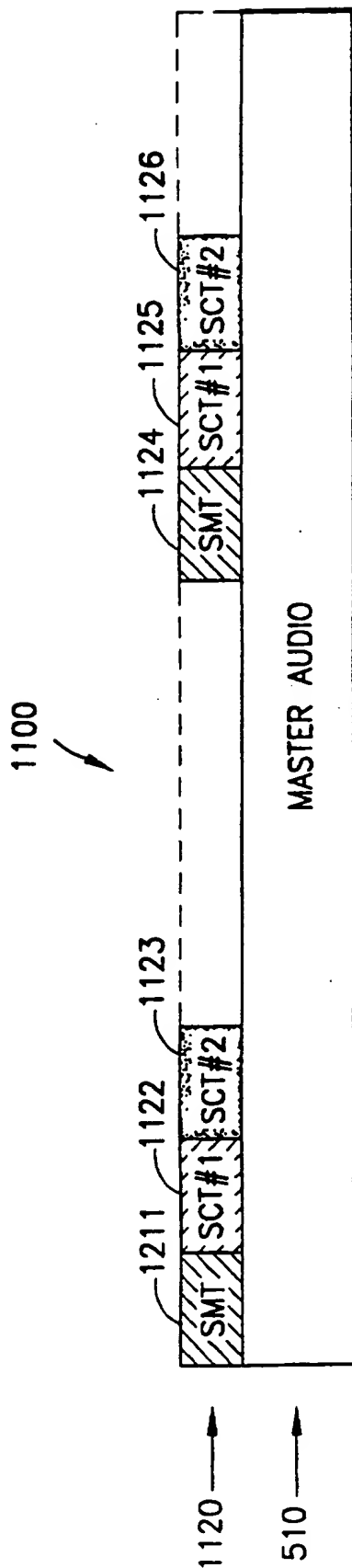


FIG.11

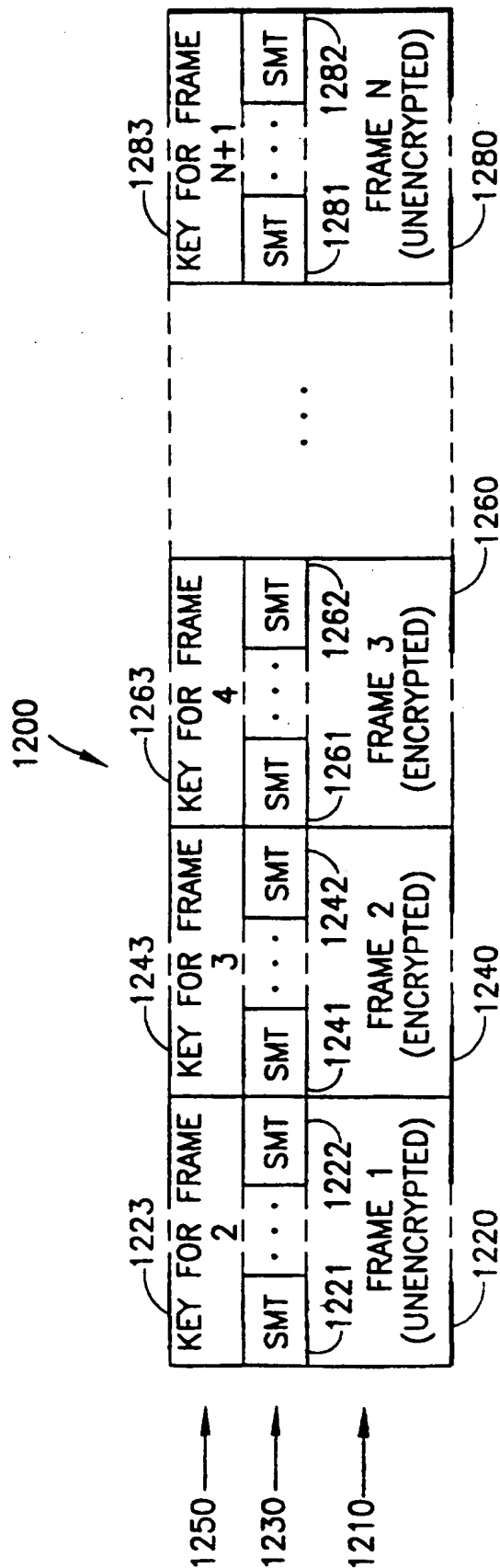


FIG.12



**A. CLASSIFICATION OF SUBJECT MATTER**

IPC(6) : H04B 1/69, 1/06; H04L 9/00; G11B 15/04

US CL : 360/60; 455/26.1, 344; 375/200; 380/49;

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 360/60; 340/825.31; 455/26.1, 344; 375/ 200, 242; 395/186; 386/94; 380/49;

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

APS,

search terms: control tag, master tag, generation (p) copy or copies, spread spectrum, spectr? shap?

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X,E	US 5,592,651 A (RACKMAN) 07 January 1997; column 3 lines 15-50; Figure 3.	1, 2, 7, 23, 24
X	US 4,644,422 A (BEDINI) 17 February 1987, see entire document.	4, 5, 21, 26, 27
X --- Y	US 5,144,658 A (TAKAHASHI) 01 September 1992, see entire document.	1-2, 4-6, 20, 23, 25-28, 42 ----- 3, 7-19, 24, 29-41
X	US 5,113,437 A (BEST et al.) 12 May 1992, see entire document.	22



Further documents are listed in the continuation of Box C.



See patent family annex.

* Special categories of cited documents:	T	later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
*A* document defining the general state of the art which is not considered to be of particular relevance	X*	document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
*E* earlier document published on or after the international filing date	Y*	document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
*L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	A*	document member of the same patent family
*O* document referring to an oral disclosure, use, exhibition or other means		
*P* document published prior to the international filing date but later than the priority date claimed		

Date of the actual completion of the international search

10 MARCH 1997

Date of mailing of the international search report

08 APR 1997

Name and mailing address of the ISA/US  
Commissioner of Patents and Trademarks  
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Authorized officer

PINCHUS M. LAUFER

Telephone No. (703) 306-4160

## C (Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X --- Y	US 5,453,968 A (VELDHUIS et al.) 26 September 1995; column 2 line 21 - column 3 line 36; column 8.	1,2, 16, 19, 23, 24, 28, 41 ----- 3-15,17,18, 25, 26, 29-40
Y	US 5,319,735 A (PREUSS et al.) 07 June 1994, see entire document.	3-20,23-42
Y	US 5,185,800 A (MAHIEUX) 09 February 1993, see entire document.	11, 33
Y	US 5,161,210 A (DRUYVESTYEN et al.) 03 November 1992, see entire document.	18, 40

**Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)**

This international report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☐ Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:
2. ☐ Claims Nos.:  
because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out, specifically:
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

**Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)**

This International Searching Authority found multiple inventions in this international application, as follows:

Please See Extra Sheet.

1. ☒ As all required additional search fees were timely paid by the applicant, this international search report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this international search report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this international search report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

☐

The additional search fees were accompanied by the applicant's protest.

☒

No protest accompanied the payment of additional search fees.

**BOX II. OBSERVATIONS WHERE UNITY OF INVENTION WAS LACKING**

This ISA found multiple inventions as follows:

This application contains the following inventions or groups of inventions which are not so linked as to form a single inventive concept under PCT Rule 13.1. In order for all inventions to be searched, the appropriate additional search fees must be paid.

Group I, claim(s) 1-20 and 23-42, drawn to recording control device and method.

Group II, claim 21, drawn to a receiver which degrades the received signal.

Group III, claim 22, drawn to a spread spectrum method of encoding a master tag.

The inventions listed as Groups I-III do not relate to a single inventive concept under PCT Rule 13.1 because, under PCT Rule 13.2, they lack the same or corresponding special technical feature.

Groups I, II, and III are related as subcombinations disclosed as usable together.